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\* Admitted in NY only  
\*\* Passed the Patent Bar Examination

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

November 15, 2001

Re: U.S. Patent Application Serial No. 09/852,976  
Applicants: Tse W. Chang, *et al.*  
Filed: May 10, 2001  
Title: COMPOSITIONS AND METHODS FOR INDUCTION OF ACTIVE AUTOIMMUNITY  
Attorney Docket No.: THI-001

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Response to Notice to File Missing Parts of Non-Provisional Application (2 pages, in duplicate);
2. Copy of Notice to File Missing Parts of Non-Provisional Application (2 pages);
3. Request for Two-Month Extension of Time (1 page, in duplicate);
4. An executed Declaration, Petition, and Power of Attorney document (6 pages);
5. Preliminary Amendment and Response to Notice to Comply with Requirements of 37 C.F.R. 1.821-1.825 As Set Forth in the Notice to File Missing Parts of Non-Provisional Application (2 pages);
6. Two (2) Sheets of Sequence Listing;
7. Transmittal Letter for Diskette Containing Sequence Listing;
8. A diskette containing the Sequence Listing;
9. Request for Correction of Filing Receipt (1 page);
10. A copy of the Filing Receipt with the changes noted thereon (3 pages);
11. A check for \$2,328.00 (basic filing fee, surcharge fee, and extra claims fee);
12. A check for \$400.00 (extension fee); and
13. Prepaid Return Acknowledgement postcard.

Please charge any necessary fees to our Deposit Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. A duplicate of this sheet is enclosed.

Certificate of First Class Mailing (37 CFR 1.8(a))

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, DC 20231 on:

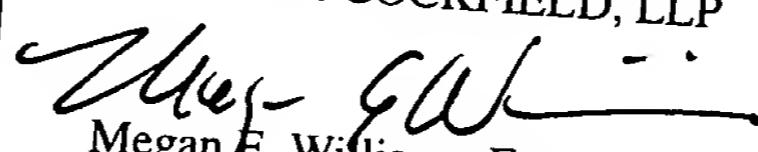
November 15, 2001

Date

Megan E. Williams, Esq., Reg. No. 43,270

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

  
Megan E. Williams, Esq.  
Reg. No. 43,270  
Attorney for Applicants



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Tse W. Chang, et al.

Serial No.: 09/852,976

Filed: May 10, 2001

For: COMPOSITIONS AND METHODS  
FOR INDUCTION OF ACTIVE  
AUTOIMMUNITY

Attorney Docket No.: THI-001

Group Art Unit: 1615

Examiner: Not Yet Assigned

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

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November 15, 2007  
Date of Signature and of Mail Deposit

Certificate of First Class Mailing

By:

Megan E. Williams

Megan E. Williams, Esq.  
Reg. No.: 43,270  
Attorney for Applicant

RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NON-PROVISIONAL APPLICATION

Dear Sir:

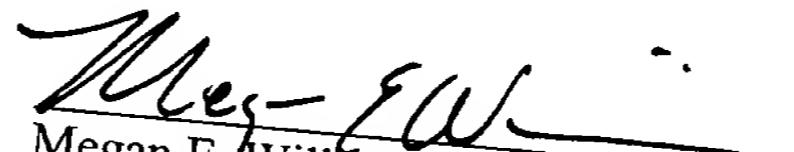
Responsive to the Notice to File Missing Parts of Non-Provisional Application dated July 16, 2001, Applicant's attorney submits herewith a Notification of Change in Entity Status from Small to Large; the executed Declaration, Petition and Power of Attorney document; and a check in the amount of \$2,328.00 to cover the total amount owed by Applicant including \$130.00 surcharge, \$740.00 basic filing fee, and \$1,458.00 additional claim fee, based on large entity status.

Additionally, enclosed is a diskette which contains a computer readable form of the Sequence Listing for the above-referenced patent application which was filed on May 10, 2001. The content of the Sequence Listing appearing on pages 1-2 of submitted herewith for the above-referenced patent application and the computer readable copy are the same as required under 37 C.F.R. 1.821(f). No new matter has been added. A copy of the Notice to File Missing Parts of Non-Provisional Application is also enclosed.

The Commissioner is hereby authorized to charge payment of any fees under 37 C.F.R. 1.16 and 1.17 during the pendency of this application or credit any overpayment to Deposit Account No. 12-0080.

Please charge any underpayments or credit any overpayments associated with this communication to our Deposit Account No. 12-0080. A duplicate of this letter is enclosed.

Respectfully submitted,

  
\_\_\_\_\_  
Megan E. Williams, Esq.  
Reg. No.: 43,270  
Attorney for Applicant

LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400

Dated: November 15, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER

09/852,976

FILING/RECEIPT DATE

05/10/2001

FIRST NAMED APPLICANT

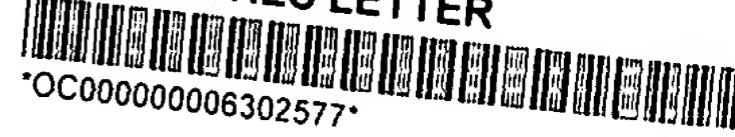
Tse W. Chang

ATTORNEY DOCKET NUMBER

THI-001

000959  
LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109

CONFIRMATION NO. 4934  
FORMALITIES LETTER



\*OC00000006302577\*

Date Mailed: 07/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/11/2002 AGDIT01 00000120 09852976

01 FC:101  
02 FC:105  
03 FC:103

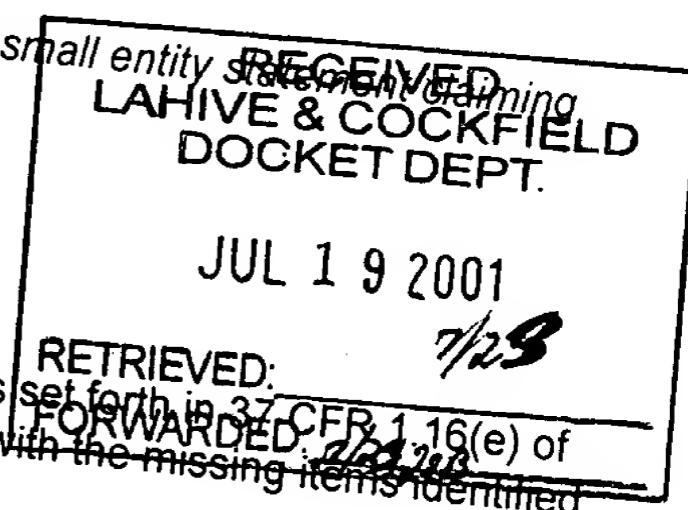
740.00 OP  
130.00 OP  
1450.00 OP

Adjustment date: 01/30/2002 YGIZAY  
01/11/2002 AGDIT01 00000120 09852976  
03 FC:103 -1450.00 OP

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing. *Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$711.
  - \$351 for 39 total claims over 20.
  - \$360 for 9 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1131.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.



01/30/2002 YGIZAY 00000008 09852976

01 FC:102  
02 FC:103

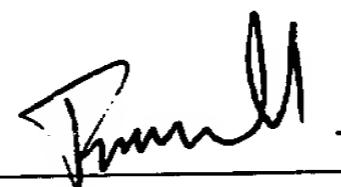
756.00 OP  
702.00 OP

For questions regarding compliance to these requirements, please contact:

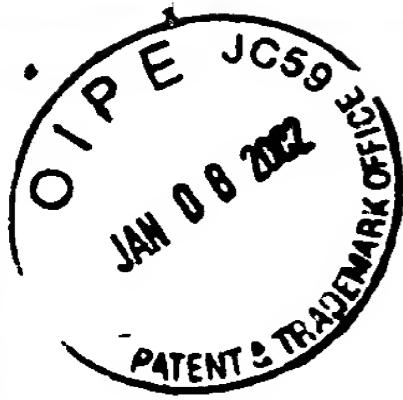
- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

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*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE



# 5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Tse W. Chang, *et al.*

Serial No.: 09/852,976

Filed: May 10, 2001

For: COMPOSITIONS AND METHODS  
FOR INDUCTION OF ACTIVE  
AUTOIMMUNITY

Attorney Docket No.: THI-001

Group Art Unit: 1615

Examiner: Not Yet Assigned

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

REQUEST FOR CORRECTION OF FILING RECEIPT

Dear Sir:

The Filing Receipt for the above-identified patent application lists the application as small entity. The correct status is large entity. A copy of the Filing Receipt with the changes noted thereon is submitted herewith.

Respectfully submitted,

Megan E. Williams, Esq.

Reg. No. 43,270  
LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
(617) 227-7400

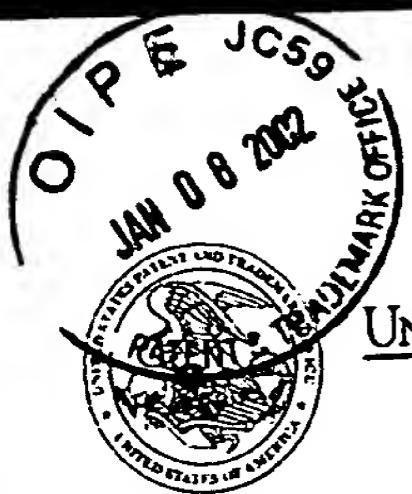
Certificate of First Class Mailing (37 CFR 1.8(a))

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November 15, 2001

Date

Megan E. Williams, Esq. Reg. No. 43,270



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/852,976	05/10/2001	1615	0.00	THI-001	8	59	12

## CONFIRMATION NO. 4934

000959  
LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109

## FILING RECEIPT



\*OC000000006302576\*

Date Mailed: 07/16/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

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Janice S.W. Huang, Hsinchu, TAIWAN;  
Stanley C.S. Wu, Taichung, TAIWAN;  
Leslie Y.Y. Chen, Miaoli, TAIWAN;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/204,191 05/11/2000

## Foreign Applications

PCT/US00/12997 05/11/2000

If Required, Foreign Filing License Granted 07/13/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* ~~SMALL ENTITY~~ ENTITY \*\*  
LAROE

Title

Compositions and methods for induction of active autoimmunity

ENTERED

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LAHIVE & COCKFIELD
DOCKET DEPT.
JUL 19 2001
RETRIEVED: 7/23/2001
FORWARDED: 7/23/2001

Preliminary Class

424

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Data entry by : AMARE, TSION

Team : OIPE

Date: 07/16/2001



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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

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Office of Initial Patent Examination  
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Washington, DC 20231